



Administration  
& Management

## OFFICE OF THE SECRETARY OF DEFENSE

1950 DEFENSE PENTAGON  
WASHINGTON, DC 20301-1950

July 7, 1986

Incorporating Change 1, April 14, 1994

### ADMINISTRATIVE INSTRUCTION NO. 54

SUBJECT: Contracted Advisory and Assistance Services (CAAS)

- References:
- (a) Administrative Instruction No. 54, "Contract Advisory and Assistance Services (CAAS)," December 26, 1984 and Change 1 (Reprint), September 17, 1985 (hereby canceled)
  - (b) [DoD Directive 4205.2](#), "DoD Contracted Advisory and Assistance Services (CAAS)," January 27, 1986
  - (c) DoD Federal Acquisition Regulation (DFAR)
  - (d) Assistant Secretary of Defense (Comptroller) Special Budget Analysis (PB-27), Special Analysis, Contract Support Services (CSS) including Contracted Advisory and Assistance Services (CAAS)
  - (e) through (l), see enclosure 1

#### 1. REISSUANCE AND PURPOSE

This Instruction reissues reference (a) and implements reference (b) by establishing policy, assigning responsibilities, and prescribing procedures for managing Contracted Advisory and Assistance Services (CAAS).

#### 2. APPLICABILITY AND SCOPE

2.1. This Instruction applies to the Office of the Secretary of Defense (OSD) and its field activities, the Organization of the Joint Chiefs of Staff (OJCS), and other organizations who may seek contract services under the auspices of Washington Headquarters Services (WHS) (hereafter referred to collectively as the "OSD Components").

2.2. Its provisions cover CAAS support obtained from commercial, nonprofit, Federal contract research centers, and educational sources (DFAR Supplement 22-1100), reference (c)). Services obtainable under procedures contained in specific DoD Directives shall continue to be obtained under the terms of those Directives.

2.3. This Instruction does not apply to:

2.3.1. Personal services obtainable under Federal personnel management procedures (category A of reference (b)).

2.3.2. Supplies and equipment, unless they constitute an incidental element of the overall services requested.

2.3.3. Data processing services, including both leased or purchased hardware, software, or both (see Administrative Instruction No. 56, reference (e)).

### 3. DEFINITIONS

#### 3.1. Contracted Advisory and Assistance Services (CAAS)

3.1.1. CAAS are those services acquired directly by the Department of Defense from nongovernmental sources to support or improve Agency policy development or decision-making, or to support or improve the management of organizations or the operation of weapon systems, equipment, and components. CAAS consists of the following categories, which are defined in enclosures 2 through 4: category A--Individual Experts and Consultants (IEC), enclosure 2; category B--Studies, Analyses, and Evaluations (SAE), enclosure 3; and category C--Management Support Services (MSS), enclosure 4.

3.1.2. CAAS, through the acquisition of new or current knowledge, contributes to a greater understanding of relevant issues consistent with the responsibilities, roles, and mission of the sponsoring OSD/OJCS Component. The deliverable is a tangible product or document, such as a report, plan, war game, briefing, model, database, study, or program, containing alternatives, assessments, evaluations, methodology, recommendations, findings, or conclusions. Consulting services are defined in DFAR Supplement 37.104, Office of Management and Budget (OMB) Circular No. A-120, FAR 37-2, and DoD Directive 4205.2 (references (b), (c), (f), and (g)) as services of a purely advisory nature relating to Government functions of Agency administration, organization, and management. Definitions for contract studies and professional and management services are elaborated on in DFAR Supplement 37.270 (reference (c)) and FAR 37-201 (reference (g)).

3.2. OSD Component Head. Includes the Secretary of Defense; Deputy Secretary of Defense; Chairman, JCS; Under Secretaries of Defense; Assistant Secretaries of Defense; General Counsel, Department of Defense; Inspector General, Department of Defense; Assistants to the Secretary of Defense; Directors, Program Analysis and Evaluation, Operational Test and Evaluation, and Net Assessment; and Director, Joint Staff.

#### 4. POLICY

4.1. The Secretary of Defense or Deputy Secretary of Defense is responsible for determinations and findings not delegable by law.

4.2. Requests for contractual services, the resulting procurement, and the ensuing payment shall be in accordance with applicable law and references (c) and (g).

4.3. Contracts for CAAS shall be awarded through competition unless the conditions for noncompetitive award are met, as specified in subpart 15.5 of reference (c), parts 13 and 15 of reference (g), or by statute.

4.4. An unsolicited proposal shall be handled in accordance with applicable law and subpart 15.5 of reference (c) and part 15-5 of reference (g). Negotiation of contracts shall be accomplished only by authorized contracting personnel based on an SD Form 419, "Requisition for Contract Services," submitted through WHS (see section 7., below, for procedures).

4.5. The proper use of CAAS is a legitimate and economical way to improve Government services and operations. DoD activities can be strengthened by contracting

for such services. Accordingly, services described in reference (c) and reference (g) may be acquired at all organizational levels to help managers achieve maximum effectiveness and economy in operations.

4.6. CAAS:

4.6.1. Shall be obtained only on an intermittent or temporary basis, as required. Repeated or extended arrangements may not be entered into except under extraordinary circumstances.

4.6.2. May not be used to perform work of DoD policy, decision making, or internal management, which is the direct responsibility of the OSD Components.

4.6.3. May not be used under any circumstances for legislative purposes.

4.5.4. May not be used to circumvent or otherwise undermine personnel ceilings, pay limitations, or competitive employment procedures.

4.6.5. May not be awarded on a preferential basis to former Government employees (DoD Directive 5500.7, reference (h)).

4.6.6. May be acquired when essential to the mission of the OSD Components to:

4.6.6.1. Obtain specialized opinions or professional or technical advice that does not exist or is not available within the Department of Defense;

4.6.6.2. Obtain outside points of view to avoid too limited judgment on critical issues;

4.6.6.3. Obtain advice regarding developments in industry, university, or foundation research;

4.6.6.4. Obtain the opinion of noted experts whose national or international prestige can contribute to the success of important projects; or

4.6.6.5. Secure citizen advisory participation in developing or implementing Government programs that, by their nature or by statutory provisions, call for such participation.

## 5. RESPONSIBILITIES

5.1. The Heads of the OSD Components shall ensure that their requesting organizations:

5.1.1. Determine that the use of CAAS is necessary and appropriate, cannot be performed in the Department of Defense or anywhere else in the Federal Government, is in the best interest of the Government, and does not duplicate any previously performed work. Requesting organizations shall make every effort to compete the proposed contract.

5.1.2. Query the Defense Technical Information Center (DTIC) (DoD Directive 3200.12, reference (i)) and any other database or information sources for material related to the proposed contract to determine whether the proposed contract is duplicative of previous or ongoing work. The documentation from the search shall be kept as part of the contract file.

5.1.3. Provide specific, complete work statements and specify a fixed period of performance for the service to be provided.

5.1.4. Administer, manage, and monitor service contracts to ensure satisfactory performance and ensure that final reports contain a DD Form 1473, "Report Documentation Page," when submitted to the DTIC.

5.1.5. Explain why the CAAS must be performed by contract rather than in-house.

5.2. The OSD Study Coordinator shall:

5.2.1. Prepare and, if required, present the fiscal year (FY) OSD Component CAAS budget justification request testimony to the Congress.

5.2.2. Compile an annual report on CAAS for the Secretary of Defense.

5.2.3. Review and circulate each OSD Component's draft CAAS plan for the purpose of identifying areas of duplication, candidates for joint funding, and projects that are Military Service concerns.

5.2.4. Coordinate the reporting of accurate and timely data to the DTIC.

5.2.5. Coordinate the planning and reporting of and monitor the programming and budgeting of CAAS.

5.2.6. Provide general policy guidance and serve as the focal point on all matters related to CAAS.

5.2.7. Coordinate dissemination of proposed and completed CAAS through the distribution of the annual OSD Component plan and report.

5.2.8. Publish, as needed, procedural guidance developed in conjunction with OSD Component CAAS coordinators to ensure documentation of requirements and consistency and to eliminate duplication.

## 6. INFORMATION REQUIREMENTS

Each OSD Component shall:

6.1. Submit a draft CAAS plan to the OSD Study Coordinator on July 1 for the FY starting October 1. The OSD Study Coordinator shall circulate this draft plan to OSD Component organizations to eliminate unwarranted duplication, to identify potential joint funding efforts, and to ensure that OSD Component CAAS address issues and problems of the Component concerned. The OSD Components also shall prepare an annual plan for CAAS requirements as required by DoD Directive 4205.2 (reference (b)) in the format established by the OSD Study Coordinator. After this plan is approved by the OSD Component Head, it shall be submitted to the OSD Study Coordinator by September 30. This plan, which may be changed at any time to reflect program dynamics, shall ensure that the anticipated CAAS conform with program requirements and budget documents.

6.2. Prepare an annual report approved by the OSD Component Head for CAAS undertaken (initiated, completed, or continued) for the FY ending September 30 and submit it to the OSD Study Coordinator by December 31. This report is required by reference (b) and shall consist of a compendium of all SD Forms 419-1 and an original DD Form 1498, "Research and Technology Work Unit Summary," for each CAAS completed in the fiscal year ending the previous September 30. The OSD Study Coordinator will submit the DD Form 1498 to DTIC informing them of the contracts completed as required by DoD Directive 4205.2 (reference (b)). Circumstances or policy considerations sometimes may preclude submission of the DD Forms 1498 to the DTIC. Such situations shall be noted in the annual report.

6.3. Maintain an appropriate file record for management and audit reviews for each separate CAAS for 5 years consisting of all correspondence, the signed SD Form 419, the contract, all deliverables, the DD Forms 1498, the DD Form 250 (Materiel

Inspection and Receiving Report), the signed SD Form 419-1 and any other relevant material. Within 30 days of contract completion, prepare and complete an SD Form 419-1, "OSD Contract Advisory and Assistance Services Evaluation," obtaining approval in Block 8 of the SD Form 419-1 from one of the officials listed in subparagraph 7.2.3.

6.4. Submit a DD Form 1498 to the DTIC when CAAS is initiated, completed, or terminated.

## 7. PROCEDURES

7.1. Some of the CAAS may be in the area of consulting services; if so, it shall be so noted on block 17c of SD Form 419. Guidelines for the procurement and use of contract consultants are provided in DFAR Supplement 37.270, OMB Circular No. A-120, FAR 37-2, and DoD Directive 4205.2 (references (b), (c), (f), and (g)).

7.2. The requesting organization of each OSD/OJCS Component shall:

7.2.1. Upon determination that a contract is required, prepare and complete an original and six copies of the SD Form 419 (except blocks 8 and 11) in accordance with the instructions on the Form. The SD Form 419 shall be completed for all CAAS whether funds are provided to the OSD procurement agent through a DD Form 1262, to another DoD activity through a Military Interdepartmental Purchase Request (MIPR), or to another Federal Agency through the use of an interagency agreement. When a contract is required for a study that did not appear in the final approved plan, the SD Form 419 shall be accompanied by an explanation why it was not in the approved plan. A completed DD Form 1498 shall be attached for each proposed study (except for block 17, which the Defense Supply Service-Washington (DSS-W) (DoD Directive 5335.2, reference (j)) shall complete) to report the start of a CAAS to the DTIC. Sometimes DD Forms 1498 will not be available to accompany the SD Form 419, or the sponsoring OSD Component may decide not to report a CAAS to the DTIC; an explanation of such circumstances shall accompany the SD Form 419 or be noted in the annual report, respectively.

7.2.2. Obtain the signature coordination in block 9 of the SD Form 419 from the OSD Study *Coordinator*. *Internal* coordination shall be shown as determined by the OSD/OJCS Component. OSD field activities shall ensure that their financial officer has approved and signed the SD Form 419. If the contract establishes, modifies, or revises an information requirement (report, form, database, or system), the SD Form 419 shall be coordinated with the Directorate for Information Operations and Reports, WHS. If the contract involves research and CAAS with potential foreign affairs

implications as defined in DoD Directive 2002.3 (reference (k)), signature coordination shall be obtained from the Director, Policy Research, Office of the Under Secretary of Defense for Policy (USD(P)).

7.2.3. Obtain approval, in block 10 of SD Form 419, from one of the following officials (except in the case of a procurement request initiated in the 4th quarter of the FY, when approval shall be obtained from the OSD/OJCS Component Head):

7.2.3.1. An Under Secretary of Defense or Principal Deputy.

7.2.3.2. An Assistant Secretary of Defense or Principal Deputy.

7.2.3.3. An Assistant to the Secretary of Defense or Deputy.

7.2.3.4. The General Counsel or Deputy General Counsel, Department of Defense.

7.2.3.5. The Inspector General or Deputy Inspector General, Department of Defense.

7.2.3.6. The Director or Principal Deputy Director, Program Analysis and Evaluation.

7.2.3.7. The Director, Operational Test and Evaluation.

7.2.3.8. The Director or Deputy Director, Net Assessment.

7.2.3.9. The Director or Vice Director, Joint Staff, OJCS.

7.2.3.10. Directors of all OSD field activities.

7.2.3.11. Military Executive Reserve Forces Policy Board.

7.3. Requests for CAAS to be funded through a MIPR or an interagency agreement do not require the coordination of the General Counsel, Department of Defense.

7.4. For OSD-funded CAAS, after completion of the SD Form 419, the requesting organization shall forward the original and five copies and the DD Form 1498 to the Budget and Finance Directorate (B&F), WHS.

7.5. For OJCS-funded CAAS, the OJCS Comptroller shall prepare the DD Form 1262, "Administrative Service Request," obtain coordination and approval signatures (see subparagraphs 7.2.2., and 7.2.3.) and forward all three forms (SD Form 419 and DD



Forms 1498 and 1262) to the B&F, WHS, for appropriate signature and further processing.

7.6. The B&F, WHS, shall certify fund availability, shall assign accounting classification data, shall complete blocks 8 and 11 on the SD Form 419, and shall send the SD Form 419 and the DD Form 1498 to the Space Management and Services Directorate (SM&S), WHS.

7.7. The SM&S, WHS, shall:

7.7.1. Review each OSD Component request to ensure it is complete and, if complete, prepare the DD Form 1262. One copy of the SD Form 419 and one copy of the DD Form 1262 shall be filed; one copy of the DD Form 1262 and the OSD Component organization's copy of the SD Form 419 shall be returned to the originating organization, and the remaining forms shall be logged out and returned to the B&F, WHS, for forwarding to the Procurement Office, DSS-W, for contract negotiation.

7.7.2. Act as liaison for administrative contracting matters between the requesting OSD Component organization and the DSS-W Procurement Office.

7.8. The DSS-W shall enter the contract number assigned to the procurement action and the amount of funds obligated for the contract in block 17 of the DD Form 1498 and shall forward the form to the OSD Study Coordinator.

## 8. THE SD FORM 419 REVIEW BOARD

8.1. Organization and Management. The SD Form 419 Review Board is composed of the OSD Study Coordinator, as chair; the Assistant General Counsel (Logistics); the Assistant Deputy Under Secretary of Defense (Acquisition), OASD (Acquisition and Logistics); and the Principal Deputy Assistant Secretary of Defense (Comptroller).

8.2. Functions. The Board shall meet to review questionable proposed CAAS requests that were referred by the chair or by any member to ensure that the request for the proposed procurement is proper and consistent with DoD acquisition policy. The Board shall resolve each request referred to it. Appeals of Board decisions may be made to the Secretary of Defense or Deputy Secretary of Defense.

9. EFFECTIVE DATE

This Instruction is effective immediately.



D. O. Cooke  
Deputy Assistant Secretary of Defense

Enclosures - 6

- E1. References, continued
- E2. Category A: Individual Experts and Consultants (IEC)
- E3. Category B: Studies, Analyses, and Evaluations (SAE)
- E4. Category C: Management Support Services (MSS)
- E5. SD Form 419 and Instructions
- E6. SD Form 419-1 and Instructions

E1. ENCLOSURE 1

REFERENCES, continued

- (e) [Administrative Instruction No. 56](#), "Computer and Office Automation Resources," June 1, 1983
- (f) OMB Circular No. A-120, "Guidelines for the Use of Consulting Services," April 14, 1980
- (g) Federal Acquisition Regulation (FAR), April 1, 1984
- (h) [DoD Directive 5500.7](#), "Standards of Conduct," January 15, 1977
- (i) [DoD Directive 3200.12](#), "DoD Scientific and Technical Information Program," February 15, 1983
- (j) [DoD Directive 5335.2](#), "Defense Supply Services in the National Capital Region," October 14, 1983
- (k) [DoD Directive 2002.3](#), "Clearance of Research and Studies with Foreign Affairs Implications," August 15, 1985
- (l) Section 3109 of title 5, United States Code

## E2. ENCLOSURE 2

### CATEGORY A INDIVIDUAL EXPERTS AND CONSULTANTS (IEC) (Definition, Criteria, Policies, and Procedures)

#### E2.1. DEFINITION AND CRITERIA

Individual Experts and Consultants (IEC) are persons possessing special, current knowledge or skill which may be combined with extensive operational experience. This enables them to provide information, opinions, advice, or recommendations that enhance understanding of complex issues, or improve the quality and timeliness of policy development or decision-making. These individuals may either work independently or as members of panels, commissions, or committees.

This summary description is further defined in terms of the following:

E2.1.1. The Objective is: To enhance understanding of complex issues, or to improve the quality and timeliness of defense policy development or decision-making by providing information, opinions, advice, or recommendations based on personal knowledge or experience.

E2.1.2. Areas of Application Are: All subjects, issues, or problems involving policy development or decision-making in the Department of Defense.

E2.1.3. Numbers and Characteristics of People Involved Include:

E2.1.3.1. Experts: Individuals possessing uncommon, special, current knowledge or skill in a particular field. They are outstanding specialists with a high level of peer recognition.

E2.1.3.2. Consultants: Individuals possessing uncommon, special, current knowledge or skill in a broad area, combined with extensive experience in the application of such knowledge or skill in rational settings. As a consequence, consultants are well-recognized outside of their peer group.

E2.1.3.3. In addition to independent work, experts and consultants may be assembled into committees, panels, commissions, etc.

E2.1.4. Outputs Are: Information, opinions, advice, or recommendations, either oral or written.

E2.1.5. Additional Characteristics and Guidance: Both experts and consultants are valued for their intrinsic knowledge, skill, or experience; they do not require extensive, new, personal research in order to provide useful information, opinions, advice, or recommendations.

E2.1.5.1. Because experts are essentially specialists, their output is predominantly information or opinions. Consultants' output, because they are essentially highly skilled practitioners, is predominantly advice and recommendations.

E2.1.5.2. All personnel appointments or contracts (whether for personal or non-personal services) with individual, named experts or consultants are included in Category A, regardless of any apparent connection they may have with Categories B, or C, of CAAS.

## E2.2. POLICIES AND PROCEDURES

E2.2.1. The services of experts or consultants procured under this category are not to be used to perform basic Government functions as indicated in paragraphs 4.1. and 4.10. of this Instruction.

E2.2.2. Title 5 U.S.C. 3109(b) (reference (1)), provides the statutory authority for employment of experts and consultants, including employment of such persons without compensation. When other statutes apply specifically to a particular appointment, that authority shall be used. Experts or consultants shall not be employed temporarily or intermittently solely in anticipation of a career conditional appointment.

E2.2.3. The Assistant to the Secretary and Deputy Secretary of Defense, or designee, shall approve or disapprove on behalf of the Secretary of Defense all appointments or renewal of appointments of experts and consultants and members of advisory committees proposed by the the Heads of DoD Components.

E2.2.4. The Heads of the DoD Components, or their designees, shall hire experts and consultants, subject to the approval of the Assistant to the Secretary and the Deputy Secretary of Defense, for positions located at DoD Component headquarters.

E2.2.5. Before experts and consultants can be appointed, the following shall be obtained:

E2.2.5.1. Funds and personnel ceiling authorizations.

E2.2.5.2. Appropriate security clearances.

E2.2.5.3. A statement from the Standards of Conduct Counselor that, under DoD Directive 5500.7 (reference (h)), no conflict of interest exists.

E2.2.6. To avoid conflicts of interest, the experts and consultants shall be appropriately warned, and a DD Form 1555, "Confidential Statement of Affiliations and Financial Interests," submitted for review by the Standards of Conduct Counselor, or designee, before all appointments.

E2.2.7. A proposed appointment or renewal shall be accompanied, at a minimum, by: a memorandum outlining the specific duties to be performed; the qualifications of the appointee; Standard Form 171, "Personal Qualifications Statement;" and DD Form 2292, "Request for Appointment of Consultant or Expert" (or an equivalent DoD Component form).

E2.2.8. The appointment package pertaining to experts and consultants, other than those listed below, shall be forwarded to the Assistant to the Secretary and Deputy Secretary of Defense through the Director, Personnel and Security, Washington Headquarters Services.

E2.2.9. None of the above approval procedures apply to: experts and consultants appointed to positions in field organizations below the major DoD Component headquarters level; physicians, dentists, and other health professionals providing patient care; veterinarians; lecturers participating in educational activities; or auxiliary chaplains.

E2.2.10. The daily rates of pay prescribed in various statutory authorizations shall be considered maximum rates, and lesser rates shall be negotiated whenever possible. Determinations of the rate to be paid, or to pay no compensation to an expert or a consultant shall be made on a case-by-case basis, considering the appropriateness of the pay to the work performed, the appointee's qualifications and experience, his or her current or highest salary held, and comparable compensation in the private sector. An expert or consultant is not entitled to a pay increase solely on the basis of an increase in the general schedule.

E2.2.11. For those experts and consultants not obtained through the appointment process outlined above, an appropriate service contract shall be written. If a non-personal services contract is used, a written report shall be submitted summarizing the appointee's information, opinions, advice, or recommendations.

### E3. ENCLOSURE 3

#### CATEGORY B

#### Studies, Analyses, and Evaluations (SAE) (Definition, Criteria, Policies, and Procedures)

##### E3.1. DEFINITION AND CRITERIA

Studies, Analyses, and Evaluations (SAE) are organized, in-depth, analytic assessments needed to understand complex issues and improve policy development or decision-making. Using scientific methods, SAE result in formal, structured documents containing or leading to conclusions or recommendations. The problems and issues are of such size, complexity, or uniqueness that individual experts and consultants cannot resolve them alone. Basic research and system-specific engineering studies, however, are excluded from the scope of SAE (Category B).

This summary description is further defined in terms of the following:

E3.1.1. The Objective is: To enhance understanding of complex issues, improve the quality and timeliness of defense policy development or decision-making, provide new insights into, alternative solutions to, or recommendations on, defense issues through the application of scientific methods, and especially policy and program analysis and evaluation.

E3.1.2. Areas of Application Are: All subjects, issues, or problems of policy development or decision-making in the Department of Defense. These may involve strategy, tactics, concepts, operations, organization, forces, the support of forces, programs, weapons and other systems, and the acquisition, test, and evaluation of such systems.

E3.1.3. Numbers and Characteristics of People Involved Include: Teams of people from non-governmental analytic organizations including Federally Funded Research and Development Centers (FFRDCS). The teams may consist of non-professional as well as professional staff members. The professional members of the team are characterized by either:

E3.1.3.1. Special knowledge in the field being studied (although not necessarily at the level described under category A); or,



E3.1.3.2. A high level of skill in using the concepts and techniques of analysis or evaluation.

E3.1.4. Outputs Are: Formal, structured documents containing or leading to conclusions or recommendations.

E3.1.5. Additional Characteristics and Guidance:

E3.1.5.1. The subjects, issues, or problems addressed by SAEC require more information, skill, or experience than can be provided by the experts or consultants described in Category A.

E3.1.5.2. The data, assumptions, principles, calculations, alternatives considered, and reasoning leading to the conclusions or recommendations in SAE shall be fully explained in clear, written form.

E3.1.5.3. Simulation, model building, economic analysis, statistical analysis, decision processes, game theory, operations research, design of experiments, and cost-benefit or cost-effectiveness analyses are the tools typically used in developing formal SAE documents. Databases, models, methodologies, and related software created in support of a study, analysis, or evaluation are to be considered part of the overall study effort.

E3.1.5.4. Technical projects using basic scientific information or operational experience as inputs and that are focused on a class of problems, broad issues, or present or proposed policies, or that are generic efforts (i.e., not a weapon system or equipment-development effort), are covered by this category.

E3.1.5.5. Engineering studies related to specific physical or performance characteristics of existing or proposed systems are not covered by this category.

E3.1.5.6. Research on theoretical mathematics and fundamental physical, biological, social, or psychological phenomena unrelated to particular issues or systems are not covered by this category.

## E4. ENCLOSURE 4

### CATEGORY C

#### Management Support Services (MSS) (Definition, Criteria, Policies, and Procedures)

#### E4.1. DEFINITION AND CRITERIA

Management Support Services (MSS) take the form of advice, training, or direct assistance to organizations to ensure more efficient or effective operation of managerial, administrative, or related kinds of systems.

This summary description is further defined in terms of the following:>

E4.1.1. The Objective is: To ensure more efficient or effective operation of management support systems through advice, training, or direct assistance in improving the design or operation of such systems.

E4.1.2. Areas of Application Are: Acquisition management, project monitoring and reporting, data collection, logistics, budgeting, accounting, auditing, personnel management, paperwork management, records management, space management, library management, and related systems.

E4.1.3. Numbers and Characteristics of People Involved Include: Teams of people from non-governmental organizations, usually private sector management services companies or FFRDCs. The teams may consist of non-professional as well as professional staff members. The professional staff members are characterized by special knowledge or skills (although not necessarily at the level described under Category A) in managerial, administrative, or related areas.

E4.1.4. Outputs Are: Services in the form of advice, training, or direct assistance that lead to improved design or more effective operation of managerial, administrative, or related kinds of systems. Written reports are incidental to the performance of these services.

E4.1.5. Additional Characteristics and Guidance: Excluded from Category C are:

E4.1.5.1. Managerial or administrative services by the designer or producer of end-item hardware that are non-separable from the development, production, or operational support processes. In this context, "non-separable" means managerial or administrative systems (e.g., subcontractor monitoring or configuration control) that

cannot reasonably be operated or performed by anyone other than the designer or producer of the end-item hardware.

E4.1.5.2. Initial training, training aids, and technical documentation acquired as an integral part of the lease or purchase of equipment.

E4.1.5.3. Routine maintenance of office equipment, routine administrative services (e.g., mail, reproduction, telephone), printing services, and direct advertising (media) costs.

E4.1.5.4. Academic education or general training to enhance basic managerial or administrative skills.

#### E4.2. POLICIES AND PROCEDURES

E4.2.1. Advice or recommendations offered shall be limited to the more efficient and effective operation of the managerial, administrative, or related systems being supported.

E4.2.2. MSS shall be used to create an in-house capability as soon as practicable, thereby avoiding long-term dependency on contractor support.

E4.2.3. MSS as defined here shall not be procured by means of a personal services contract. To the extent applicable and practicable contracts for these services shall require a written report which typically documents the services delivered and may in part take the form of software packages.

## E5. ENCLOSURE 5

## SD FORM 419 AND INSTRUCTIONS

(Classification)			
OFFICE OF THE SECRETARY OF DEFENSE REQUEST FOR CONTRACTED ADVISORY AND ASSISTANCE SERVICES (CAAS) <small>(If additional space is required, attach separate sheet and identify by block number)</small>			
1. OSD/OJCS REQUESTING ACTIVITY ANNUAL PLAN NUMBER		3. IS THIS A CONTRACT MODIFICATION, RENEWAL, OR EXTENSION? (x one)	
		NO	
		YES (Specify and cite appropriate contract number and contract title)	
2. DATE OF SUBMISSION (YYMMDD)			
4. PROJECT TITLE			5. PROJECT SECURITY CLASSIFICATION
6a. COGNIZANT OFFICER/CONTRACT OFFICER'S TECHNICAL REPRESENTATIVE (COTR)			
(1) NAME (Last, First, Middle Initial)		(2) ROOM NUMBER	(3) PHONE NUMBER
b. CONTRACT OFFICER REPRESENTATIVE (COR) (Applicable only if FFRDC (FCRC))			
(1) NAME (Last, First, Middle Initial)		(2) ROOM NUMBER	(3) PHONE NUMBER
7. BUDGET / PROGRAM DATA			
a. ESTIMATED AMOUNT OF PURCHASE (Attach computation/cost proposal)		b. FISCAL YEAR OF DOLLARS: FY	
		c. PROGRAM ELEMENT: PE	
d. TYPE OF APPROPRIATION (X appropriate block)		e. OPTION-YEAR CONTRACT (O&M \$ ONLY)	
(1) O&M	(2) PROCUREMENT	YES	NO
(3) RDT&E	(4) OTHER FUNDS (Specify)	f. INCREMENTALLY FUNDED (RDT&E \$ ONLY)	YES NO
		g. FOLLOW-ON ANTICIPATED	YES NO
h. FUNDS TRANSFER INFORMATION (X and complete one or more, as applicable)			
(1) MILITARY INTERDEPARTMENTAL PURCHASE REQUEST (MIPR) FROM:		(Original copy of MIPR must be attached or previously sent to WHS Budget and Finance Directorate.)	
(2) MILITARY INTERDEPARTMENTAL PURCHASE REQUEST (MIPR) TO:		(Provide name of organization, complete mailing address, POC, phone number.)	
(3) INTERAGENCY AGREEMENT (IA) OR MEMORANDUM OF UNDERSTANDING (MOU):		(Attach copy of IA or MOU with name of organization, complete mailing address, name of POC, and phone number.)	
8. APPROPRIATION AND ACCOUNTING CLASSIFICATION			
9. COORDINATION			
a. TYPED NAME (Last, First, MI)	b. OFFICE DESIGNATION	c. DATE	d. INITIALS
(1)	OSD Study Coordinator		
(2)	General Counsel		
(3)			
(4)			
(5)			
(6)			
(7)			
10. APPROVING OFFICIAL			
WHEN THIS FORM IS USED TO PROCURE CONTRACT SERVICES OUTSIDE THE GOVERNMENT, I CERTIFY THAT NO DoD OR GOVERNMENTAL SOURCES ARE AVAILABLE OR ADEQUATE TO PERFORM THE PROPOSED WORK.			
a. TYPED NAME (Last, First, MI)	b. TITLE	c. SIGNATURE	d. DATE SIGNED (YYMMDD)
11. DIRECTORATE FOR BUDGET AND FINANCE (WHS). PROGRAM REVIEW VERIFIED AND PROPERLY CHARGEABLE			
a. TYPED NAME (Last, First, MI)	b. TITLE	c. SIGNATURE	d. DATE SIGNED (YYMMDD)

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Previous editions may be used until exhausted.

(Classification)

(Classification)

12. STATEMENT OF WORK		
13. TERMS OF CONTRACT, SCHEDULE OF PERFORMANCE, REPORTS AND SERVICES TO BE DELIVERED, OR SERVICES TO BE ACQUIRED BY GOVERNMENT.		
14a. IS THIS PROCUREMENT IN RESPONSE TO (X one)		14b. IS THIS PROCUREMENT (X one)
<input type="checkbox"/> (1) TECHNICAL REQUEST	<input type="checkbox"/> (1) COMPETITIVE (Attach list of suggested sources in block 15.)	
<input type="checkbox"/> (2) UNSOLICITED PROPOSAL	<input type="checkbox"/> (2) FFRDC (FCRC)	
<input type="checkbox"/> (3) OTHER (Specify)	<input type="checkbox"/> (3) SOLE SOURCE (Identify contractor in block 15 and attach written justification.)	
15. RECOMMENDED SOURCES IF COMPETITIVE. IF SOLE SOURCE, LIST NAME AND ADDRESS OF CONTRACTOR.		
16. DEEENSE TECHNICAL INFORMATION CENTER (DTIC)		
a. WAS DTIC AND OTHER RESOURCES SEARCHED TO SEE IF SIMILAR SERVICES WERE PERFORMED PREVIOUSLY TO AVOID DUPLICATION?		
<input type="checkbox"/> (1) YES	(3) IF NO, WHY NOT?	
<input type="checkbox"/> (2) NO		
b. WAS THE INITIATION OF THIS PROJECT / STUDY REPORTED TO DTIC?		
<input type="checkbox"/> (1) YES (Attach DD Form 1498)	(3) IF NO, WHY NOT?	
<input type="checkbox"/> (2) NO		
17. CODING DATA (To be provided by sponsoring organization)		
a. PB 27 CATEGORY	b. RECOMMENDED PRODUCT SERVICE CODE	c. IS THIS A CONSULTING CONTRACT?
		<input type="checkbox"/> (1) YES
		<input type="checkbox"/> (2) NO
18. PROPERTY REQUIRED BY CONTRACTOR (X as appropriate and enumerate by attachment.)		a. GOVERNMENT
		b. OTHER

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(Classification)

INSTRUCTIONS FOR COMPLETION OF SD FORM 419,  
OFFICE OF THE SECRETARY OF DEFENSE  
REQUEST FOR CONTRACT ADVISORY AND ASSISTANCE SERVICES

- Block 1. Enter identification number from organization's approved annual plan. If request is not contained in approved annual plan, explain why this request was not in the plan, in the lead-in sentence in Block 12, "Statement of Work."
- Block 2. Enter date of submission of SD Form 419 for processing.
- Block 3. If this SD Form 419 is to modify an existing contract, explain reason for modification, specify nature of modification such as task change, and added task, and enter contract number of contract being modified.
- Block 4. Enter project title. Make sure it is accurate, descriptive of work to be undertaken, and relevant to organization defense mission.
- Block 5. Enter highest level of access to classified information required by contractor. Attach completed DD Form 254 if classification is indicated.
- Block 6.a. Enter applicable data for cognizant officer who is responsible for the specific technical/substantive tasks and details of the study.
- Block 6.b. Enter the applicable data for the contract officer representative (COR) if this project is for an FFRDC (FCRC). ENTER BOTH NAMES IF THE PROJECT IS FOR AN FFRDC (FCRC).
- Block 7.a. Enter total estimated amount of money for contract.
- 7.b. Enter fiscal year of money.
- 7.c. Enter Program Element number for type of appropriation entered on 7d.
- 7.d. Check appropriate box which describes type of appropriation.
- 7.e. Check as appropriate.
- 7.f. Check as appropriate.
- 7.g. Check as appropriate.
- 7.h. Check appropriate box if funds are being transferred to or from OSD/OJCS via Military Interdepartmental Purchase Request (MIPR), Interagency Agreement (IA), or by Memorandum of Understanding (MOU). Provide name and address of activity receiving or sending funds and name and phone number of Point of Contact. In the case of an IA and an MOU, the Form 419 must be accompanied by a copy of the Agreement. The Agreement must include a fiscal paragraph and fund cite from Budget Division, WHS using as an example the following:

Sample Fiscal Paragraph

Transfer of Funds: The "Name of Agency" will remit a SF 1080 to the Director of Budget and Finance, Washington Headquarters Services, Room 3B287, The Pentagon, Washington, DC 20301. The SF 1080 should reference the following accounting classification:

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(To be provided by the Budget and Finance Directorate, WHS)

- Block 8. To be entered by the Budget and Finance Directorate, WHS.
- Block 9. Coordination required will be the responsibility of the requesting activity.
- Block 10. Obtain approval from appropriate authority as specified in OSD Administrative Instruction No. 54. OMB Circular A-120 (reference (f)) states "Written approval of all consulting service arrangements will be required at a level above the organization sponsoring the activity. Additionally, written approval for all consulting service arrangements during the fourth quarter will be required at the second level above the organization sponsoring the activity." See DoD Directive 4205.2 (reference (b)).
- Block 11. Obtain budget and program clearance from the Budget and Finance Directorate, WHS.
- Block 12. Provide a clear, detailed statement of what work or tasks are to be purchased and performed by the contractor. The criteria to be applied in the development of the work statement is that the Department of Defense is obligated to ensure that each prospective contractor fully understands the details of the various phases of the Department of Defense's requirement.
- Block 13. Enter the terms of the contract, schedule of performance, reports, other deliverables, and services to be delivered, acquired, or retained by the Government. When DoD review of contractor-prepared materials is necessary before completion of contractual obligations, sufficient time shall be provided and specified in the basic contract. Any data developed during the performance of the contract which Department of Defense desires to acquire should be specified.
- Block 14. Check the appropriate boxes. If sole source is checked, provide a written justification explaining why the source selected is unique and why no other contractor can perform this service. Cite specific references from the FAR, DFAR Supplement, and "Competition in Contracting Act" to justify use of sole source exemption. Provide justification and approval.

- Block 15. Enter name of contractor if sole source or names of prospective contractors if competitive.
- Block 16. Check appropriate box. Attach DD Form 1498 which OSD Study Coordinator will submit to the Defense Technical Information Center (DTIC).
- Block 17.a. Enter the appropriate Capital Letter-Number-Small Letter to accurately identify the PB 27 category. Neither the type of money, such as O&M or RDT&E nor the organizational function requesting the service determines the DD 350 code category: only the type of service being procured does, i.e., an R400 or R500 series code (see block 17.b., also codes for use in block 17.a.).
- 17.b. Enter the appropriate alpha numeric code (see codes for use in block 17.b.) for use on the DD Form 350.
- 17.c. Check appropriate box based on definition in FAR, DFAR Supplement, DoD Directives and OMB Circulars. Consulting Services "means those services of a purely advisory nature relating to the Governmental functions of Agency administration and management and Agency program management. These services are normally provided by persons and/or organizations who are generally considered to have knowledge and special abilities that are not generally available within the Agency. The form of compensation is irrelevant to the definition." (From FAR, Part 37, Subpart 37.2, Paragraph 37.201, Page 37-3 (reference (g)).)
- Block 18. If the proposed procurement necessitates the use of Government-furnished property or facilities, check the appropriate box and describe what property or facilities need to be furnished.



## CODES FOR USE IN BLOCK 17.a.

Use one of the following codes.

<u>CATEGORY</u>	<u>TITLE</u>	<u>CODE</u>
A	<u>INDIVIDUAL EXPERTS AND CONSULTANTS (IEC)</u>	
	Contract Consultants	A.2.
	Note: Leave block 17.b. blank when using this code in block 17.a.	
B	<u>STUDIES, ANALYSES, AND EVALUATIONS (SAE)</u>	
	Contract Studies and Analysis	B.2.
	Note: You may only use an R500 series code in block 17.b. when using this code in block 17.a.	
C	<u>MANAGEMENT SUPPORT SERVICES (MSS)</u>	
	Program Management Support	C.1.B.
	Policy Review and Development	C.2.B.
	Specification Development	C.3.
	Technology Sharing and Utilization	C.5.B.
	Logistic Support Services	C.6.B.
	Technical Data Collection	C.7.B.
	Public Relations and Advertising	C.8.B.
	Other Professional and Management Services	C.9.B.
	NOTE: You may only use R400, R600, or R700 series product service codes in block 17.b. when using these codes in block 17.a.	

PRODUCT SERVICE CODES FOR USE IN BLOCK 17.b.

<u>TITLE</u>	<u>CODE</u>
<u>Management &amp; Professional Services</u>	
Land Surveys, Cadastral Services (Nonconstruction)	R404
Operations Research Services	R405
Policy Review/Development Services	R406
Program Evaluation Services	R407
Program Management Support Services	R408
Program Review/Development Services	R409
Real Property Appraisal Services	R411
Simulation	R412
Specifications Development Services	R413
Systems Engineering Services	R414
Technology Sharing/Utilization Services	R415
Care of Animals	R416
Legal Services	R418
Education Services	R419
Certifications & Accreditations	R420
Technical Assistance	R421
Telephone & Field Interview Services	R422
Intelligence Services	R423
Expert Witness	R424
Engineering Technical Services	R425
Communications Services	R426
Personal Services	R497
Other Professional Services	R498
Other Management Services	R499

Special Studies & Analyses

Air Quality Analyses	R502
Archeological/Paleontological Studies	R503
Chemical/Biological Studies & Analyses	R504
Cost Benefit Analyses	R505
Data Analyses (Other than Scientific)	R506
Economic/Socio-Economic & Labor Studies	R507
Endangered Species Studies - Plant & Animal	R509
Environmental Assessments	R510
Environmental Baseline Studies	R511
Environmental Impact Studies	R512
Feasibility Studies (Nonconstruction)	R513
Animal & Fisheries Studies	R516
Geological Studies	R517
Geophysical Studies	R518
Geotechnical Studies	R519
Grazing/Range Studies	R520
Historical Studies	R521
Legal/Litigation Studies	R522
Mathematical/Statistical Analyses	R524

Natural Resource Studies	R525
Oceanological Studies	R526
Recreation Studies	R527
Regulatory Studies	R528
Scientific Data Studies	R529
Seismological Studies	R530
Soil Studies	R532
Water Quality Studies	R533
Wildlife Studies	R534
Medical & Health Studies	R537
Intelligence Studies	R538
Aeronautic/Space Studies	R539
Building Technology Studies	R540
Defense Studies	R541
Education Studies & Analyses	R542
Energy Studies	R543
Technology Studies	R544
Housing & Community Development Studies	R545
Security Studies (Physical & Personal)	R546
Accounting/Financial Management Studies	R547
Trade Issue Studies	R548
Foreign Policy/National Security Policy Studies	R549
Organization/Administrative/Personnel Studies	R550
Mobilization/Preparedness Studies	R551
Manpower Studies	R552
Communications Studies	R553
Acquisition Policy/Procedures Studies	R554
Other Special Studies & Analyses	R599

ADMINISTRATIVE SUPPORT SERVICES

Other Administrative Support Services	R699
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MANAGEMENT SUPPORT SERVICES

Logistic Support Services	R706
Contract, Procurement & Acquisition Support Services	R707
Other Management Support Services	R799

E6. ENCLOSURE 6SD FORM 419-1 AND INSTRUCTIONS

<b>OFFICE OF THE SECRETARY OF DEFENSE</b> <b>CONTRACT ADVISORY AND ASSISTANCE SERVICES (CAAS) EVALUATION</b> <i>(If additional space is required, attach separate sheet and identify by item number)</i>		
1. OSD / OJCS REQUESTING ACTIVITY ANNUAL PLAN NUMBER	2. CONTRACT NUMBER	3. DATE CONTRACT COMPLETED (YYMMDD)
4. CONTRACT TITLE		
5. NAME OF CONTRACTOR		
6a. USE / EVALUATION / IMPACT. HOW WAS THE STUDY AND / OR RESULTS USED BY THE REQUESTING ORGANIZATION? <i>(Be specific and define impact.)</i>		
6b. USER IMPACT CODE		
6c. IF RESULTS WERE NOT USED, EXPLAIN		
7. WAS COMPLETION OF CONTRACT REPORTED TO THE DEFENSE TECHNICAL INFORMATION CENTER (DTIC)? (X one)  <input type="checkbox"/> YES <input type="checkbox"/> NO, WHY NOT?		
8. APPROVING OFFICIAL (Reference AIS4)		
a. TYPED NAME (Last, First, Middle Initial)	b. ORGANIZATION NAME	
c. SIGNATURE		d. DATE SIGNED (YYMMDD)

SD Form 419-1, NOV 84

# **SD FORM 419-1 INSTRUCTIONS**

This form is to be placed in the contract file, and copies of all 419-1 forms for each contract completed in the fiscal year sent to the OSD Study Coordinator, Pentagon on December 31 following the end of the previous fiscal year.

**Block 1.** Enter the OSD/OJCS Component plan identification number, which in most cases will be the same number entered in Block 1 of the original SD Form 419 used to procure this contract study.

**Block 2.** Enter the contract number.

**Block 3.** Enter the date the contract was completed.

**Block 4.** Enter title of contract.

**Block 5.** Enter name of contractor and any comments about the contractor's performance and quality of the product.

**Block 6a.** Provide a specific written explanation of how the study and its findings, conclusions, or results were used by the sponsoring organization, that is, what impact did the study have?

**Block 6b.** Enter no more than 3 of the following codes to describe contract study's impact:

Use a "0" if results were useless or effort deemed a failure.

Use a "1" if corrected, identified, or solved a vulnerability, deficiency, weakness, or unexpected problem.

Use a "2" if improved or changed operations, organization, administrative, or management procedures.

Use a "3" if led to new ideas, knowledge, or insight about a difficult issue, subject, or program; product/approaches; or methods.

Use a "4" if results increased or improved effectiveness, efficiency, productivity, or resulted in savings. If this can be quantified, please do so and specify.

Use a "5" if results evaluated confidence in system parameters.

Use a "6" if results provided better guidance or information to the Military Services, or new guidance in "PPBS" documents.

Use a "7" if results validated military requirements, tactics, strategy, or doctrine.

Use an "8" if results provided a rationale and priority for support policy, program, budget, administration, or acquisition decision making.

Use a "9" if results analyzed options and alternatives to support policy, program, budget, administration, or acquisition decision making.

Use a "10" if results identified longer term issues and problems.

Use an "11" if results surfaced unexpected or unanticipated problems.

Use a "12" if contract terminated before completion.

**Block 6c.** Be specific and explain why the results were not used or the study had no impact, such as, requirement OBE, requirement changed, new priorities, COTR changed, subject matter or work statement inappropriate, ambiguous, misleading, or otherwise flawed. Make sure that user impact code (Block 6b.) is filled in and consistent with any entry made here.

**Block 7.** Attach completed DD Form 1498 with this report when submitting to OSD Study Coordinator. OSD Study Coordinator will submit DD Form 1498 to Defense Technical Information Center (DTIC).

**Block 8.** Obtain approval from appropriate authority as specified in AI No. 54. Should be the same individual (incumbent or successor) who approved the original SD Form 419.